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Enclosures: TRANSMITTAL LETTER (in duplicate); INFORMATION DISCLOSURE  
STATEMENT; FORM PTO-1449 (8 PAGES); AND RETURN POSTCARD  
Applicant(s): LaPOINTE, ET AL.  
Serial No.: 10/043,358  
Filed: JANUARY 11, 2002  
For: METHOD FOR SELECTING MEDICAL AND BIOCHEMICAL DIAGNOSTIC TESTS  
USING NEURAL NETWORK-RELATED APPLICATIONS

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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: LaPointe *et al.*  
Serial No.: 10/043,356  
Filed: January 11, 2002

For: *METHOD FOR SELECTING  
MEDICAL AND BIOCHEMICAL  
DIAGNOSTIC TESTS USING  
NEURAL NETWORK-RELATED  
APPLICATIONS*

Art Unit: Unassigned  
Examiner: Unassigned

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Arlington, VA 22202, on this date.

04/23/02  
Date

*Maritza O'Reilly*  
Maritza O'Reilly

### TRANSMITTAL LETTER

Commissioner for Patents  
Arlington, VA 22202

Dear Sir:

Transmitted herewith are an Information Disclosure Statement and Forms PTO-1449 (8 Pages) for filing in connection with the above-identified application. Because this Information Disclosure Statement is filed prior to receipt of a First Office Action on the merits in the above-referenced application, no fee is due. However, should it be determined that a fee for filing these papers is required, the Commissioner is authorized to charge Deposit Account No. 50-1213, as stated below:

- ☒ The Commissioner is hereby authorized to charge any fee, including any submitted herewith if the attached check(s) is in the wrong amount or otherwise improper or missing, that may be due in connection with this and the attached papers, or with this application during its entire pendency to or to credit any overpayment to Deposit Account No. 50-1213. A duplicate of this sheet is enclosed.

Respectfully submitted,  
HELLER EHRMAN WHITE & McAULIFFE LLP

By:

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Mariza O. Hill

INFORMATION DISCLOSURE STATEMENT IN ACCORDANCE  
 WITH 37 C.F.R. §§ 1.97-1.98

Commissioner for Patents  
 Arlington, VA 22202

Dear Sir:

Since this Information Disclosure Statement is filed before the receipt of a first Office Action on the merits for the above-captioned application, no filing fee is due. If it is determined that a fee is due, the Commissioner is authorized to charge the unpaid amount to Deposit Account No. 50-1213.

In accordance with the duty of disclosure imposed by 37 C.F.R. § 1.56 to inform the Patent Office of all references known by Applicant or Applicant's representative that may be material to the examination of the subject application, Applicant's representative hereby provides this Information Disclosure Statement that is prepared in accordance with 37 C.F.R. §§ 1.97-1.98. The Forms PTO-1449 (8 pages) are provided herewith. In accordance with 37 C.F.R. § 1.98(d), copies of the references marked with an asterisk are not provided herewith, as they have been previously provided in connection with application U.S. Serial Nos. 08/912,133; 08/798,306; and 08/599,275 which are relied upon for an earlier filing date in accordance with 35 U.S.C. § 120.

The documents listed on the Forms PTO-1449 are in the English language. Hence, in accordance with the requirements of 37 C.F.R. § 1.98, as amended effective March 16, 1992, no further explanation of the listed items is necessary.

Applicant also makes known to the Examiner the following co-pending U.S. and International applications that have one or more common inventors and/or one or more common owners:

**U.S.S.N. 10/043,356**  
**LaPointe et al.**  
**Information Disclosure Statement**

<u>U.S.S.N.</u>	<u>Filing Date</u>	<u>Docket No.</u>
08/912,133	08/14/97	801C
09/134,636	08/14/98	801D
09/063,497	04/20/98	813B
09/717,478	11/20/00	813C
09/717,355	11/20/00	813D
09/149,183	09/08/98	2101E

Although these documents are made known to the Patent and Trademark Office in compliance with Applicant's duty of disclosure, such disclosure is not to be construed as an admission by Applicant or Applicant's representative that any of the references, singly or in any combination thereof, is effective as prior art against the subject application. In accordance with 37 C.F.R. §1.97(h), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 C.F.R. §1.56(b) exists.

Applicant respectfully requests that the Examiner review the foregoing references and information and that they be made of record in the file history of the above-captioned application.

Respectfully submitted,  
HELLER EHRMAN WHITE & McAULIFFE LLP

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10/043,356

LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
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APPLICANT  
LaPointe *et al.*

FILING DATE  
January 11, 2002

GROUP  
Unassigned

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## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER							DATE	NAME	CLASS	SUB CLASS	FILING DATE
.	A	5	2	4	1	6	2	0	11/31/93	Ruggiero	395	22	01/03/91
.	B	5	2	4	9	2	5	9	09/28/93	Harvey	395	13	05/28/92
.	C	5	2	5	1	6	2	6	10/12/93	Nickolls, <i>et al.</i>	607	14	07/22/92
.	D	5	3	0	1	6	8	1	04/12/94	DeBan, <i>et al.</i>	128	736	09/27/91
.	E	5	3	3	1	5	5	0	07/19/94	Stafford, <i>et al.</i>	364	413.2	02/11/93
.	F	5	4	7	3	5	3	7	12/05/95	Glazer, <i>et al.</i>	364	419.2	04/12/95
.	G	4	0	9	9	5	8	7	06/11/78	Kaufmann	177	210	10/14/76
.	H	4	8	7	4	9	6	3	10/17/89	Alspector	307	201	02/11/88
.	I	4	9	6	5	7	2	5	10/23/90	Rutenberg	364	413.1	04/08/88
.	J	5	0	9	6	8	3	0	03/17/92	Senyei <i>et al.</i>	436	65	09/15/88
.	K	5	1	8	5	2	7	0	02/09/93	Senyei <i>et al.</i>	436	510	12/12/88
.	L	5	2	2	3	4	4	0	06/29/93	Tang <i>et al.</i>	436	510	11/18/88
.	M	5	2	3	6	8	4	6	08/17/93	Senyel <i>et al.</i>	436	65	07/18/91
.	N	5	2	8	1	5	2	2	01/25/94	Senyel <i>et al.</i>	435	7.9	12/14/80
.	O	5	4	0	5	3	6	2	04/11/95	Kramer <i>et al.</i>	607	5	12/20/93
.	P	5	4	6	3	5	4	8	10/31/95	Asada <i>et al.</i>	364	413.02	04/28/93
.	Q	5	4	6	8	8	1	9	11/21/95	Senyei <i>et al.</i>	435	7.94	05/12/93
.	R	5	4	9	1	6	2	7	02/13/96	Zhang <i>et al.</i>	364	413.2	05/13/93
.	S	5	5	0	3	1	6	1	04/02/96	Van Den Hauvel	128	773	10/25/93
.	T	5	5	1	6	7	0	2	05/14/98	Senyei <i>et al.</i>	436	510	06/29/94
.	U	5	5	3	3	5	1	9	07/09/96	Radke <i>et al.</i>	128	777	05/09/95
.	V	5	5	6	0	3	7	0	10/01/98	Verrier <i>et al.</i>	128	705	05/26/95
.	W	5	5	8	5	3	6	4	10/15/98	Schaefer <i>et al.</i>	436	43	02/22/95
.	X	5	5	9	4	6	3	7	01/14/97	Eisenberg <i>et al.</i>	395	202	05/26/93

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APPLICANT  
LaPointe *et al.*

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EXAMINER INITIAL		DOCUMENT NUMBER							DATE	NAME	CLASS	SUB CLASS	FILING DATE
.	Y	5	1	5	7	7	3	3	10/20/92	Takeo <i>et al.</i>	382	6	06/07/91
.	Z	5	2	9	9	2	8	4	03/29/94	Roy	395	22	04/09/97
.	AA	5	3	0	4	4	6	8	4/19/94	Phillips <i>et al.</i>	435	14	01/26/93
.	AB	5	3	2	1	4	9	2	06/14/94	Datwiler <i>et al.</i>	356	73	08/07/92
.	AC	5	3	9	2	4	0	3	02/21/95	Kaufmann	395	275	04/23/92
.	AD	5	4	5	5	8	9	0	10/03/95	Wang	395	22	
.	AE	5	5	9	0	6	6	5	01/07/97	Kanal	128	898	11/10/94
.	AF	5	6	2	2	1	7	1	04/22/97	Asada <i>et al.</i>	364	413.01	04/14/95
.	AG	5	6	2	7	9	0	7	05/06/97	Gur <i>et al.</i>	382	128	05/06/97
.	AH	5	6	8	7	7	1	6	11/18/97	Kaufman <i>et al.</i>	128	630	11/15/95

### FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER							DATE	COUNTRY	CLASS	SUB CLASS	Translation	
.	AI	0	3	8	7	8	3	0	09/19/90	EP	-	-		
.	AJ	0	5	5	7	8	3	1	09/01/93	EP	-	-	X**	
.	AK	0	6	1	6	2	9	1	01/02/94	EP A2	-	-		
.	AL	0	6	1	0	8	0	5	03/02/94	EP A2	-	-		
.	AM	0	6	4	4	4	1	4	03/22/95	EP A2	-	-		
.	AN	9	4	2	5	9	3	3	11/10/94	PCT	-	-		
.	AO	9	6	1	2	1	8	7	4/25/96	PCT	-	-		
.	AP	9	7	0	5	5	5	3	2/13/97	PCT	-	-		
.	AQ	9	7	0	9	6	7	8	3/13/97	PCT	-	-		
.	AR	9	7	1	7	8	9	1	5/22/97	PCT	-	-		
.	AS	9	7	3	0	9	9	6	8/28/97	PCT	-	-		X***

\*\* Derwent English language abstract and/or English translation provided.  
\*\*\* English Abstract included

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## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.).

*	AT	Alvager, <i>et al.</i> , "The use of artificial neural networks in biomedical technologies: An introduction", <u>Biomedical Instrumentation and Technology</u> pp. 315-322 (1994).
*	AU	Arden, "Internal Medicine: Internist", (available at <a href="http://www.spi.org/cgi...e&amp;t&amp;csum=110562327913">http://www.spi.org/cgi...e&amp;t&amp;csum=110562327913</a> on 12/08/96).
*	AV	"Artificial Intelligence systems in routine clinical use", (available on <a href="http://www.gretmar.com/ailist/list.html">http://www.gretmar.com/ailist/list.html</a> ).
*	AW	Baxt, "Use of an artificial neural network for data analysis in clinical decision-making: The diagnosis of acute coronary occlusion", <u>Neural Computation</u> , 2:480-489 (1990).
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*	AY	Baxt, "Analysis of the clinical variables driving decision in an artificial neural network trained to identify the presence of myocardial infarction", <u>Annals of Emergency Medicine</u> , 21: 1439-1444 (1992).
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*	BA	Baxt, "Complexity, chaos and human physiology: the justification for non-linear neural computational analysis", <u>Cancer Letters</u> , 77:85-93 (1994).
*	BB	Baxt, "Application of artificial neural networks to clinical medicine", <u>Lancet</u> , 346:1135-1138 (1995).
*	BC	Baxt, "Bootstrapping confidence intervals for clinical input variable effects in a network trained to identify the presence of acute myocardial infarction", <u>Neural Computation</u> , 7:624-638 (1995).
*	BD	Beksac, <i>et al.</i> , "An artificial intelligent diagnosis system with neural networks to determine genetical disorders and fetal health by using maternal serum markers", <u>European Journal of Obstetrics and Gynecology and Reproductive Biology</u> 59:131-136 (1995).
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*	BF	"BioComp Systems, Inc.: Systems that learn, adapt and evolve", (available on <a href="http://www.bio-comp.com/products.htm">http://www.bio-comp.com/products.htm</a> on 11/21/96).

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*	BH	Brickley, <i>et al.</i> , "Performance of a neural network trained to make third-molar treatment-planning decisions", <u>Medical Decision Making</u> 16:153-160 (1996).
*	BI	Brown, <i>et al.</i> , Finite training sample size effects on neural network pattern classification in low-dimensional feature space", pp. 96-101.
*	BJ	Burke, <i>et al.</i> , "Artificial neural networks for outcome prediction in cancer", pp. 53-56.
*	BK	Burke, Evaluating artificial neural networks for medical applications, <u>International Conference on Neural Networks</u> 4:2494-2495 (1997).
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*	BM	Davis, <i>et al.</i> , "Production systems as a representation for a knowledge based consultation program", <u>Artificial Intelligence</u> 8:15-45 (1977).
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*	BO	Diller, W., "Horus computer-enhanced diagnostics", <u>In Vivo: The Business and Medicine Report</u> , pp. 3-10, 1997.
*	BP	El-Daredy <i>et al.</i> , Identification of relevant features in /sup 1/H MR tumour spectra using neural networks, <u>Fourth International Conference on Artificial Neural Networks</u> pgs. 454-458 (1995).
*	BQ	Erickson, "What is cognitive computing?", part 2 of 3, (available at <a href="http://www.spi.org/cgi...seeit&amp;csum=16068819102">http://www.spi.org/cgi...seeit&amp;csum=16068819102</a> on 12/08/96).
*	BR	Fahlman, <i>et al.</i> , "The cascade-correlation learning architecture", <u>Advances in Neural Information Processing Systems</u> 2, pp. 524-532 (1989).
*	BS	Fahlman, "Fast learning variations on back-propagation: An empirical study", <u>Proceedings on the 1988 Connectionist Models Summer School</u> , Pittsburgh, pp. 38-51 (1988).
*	BT	Furundzic <i>et al.</i> , Artificial neural networks for early breast carcinoma detection, <u>International Workshop on Neural Networks for Identification, Control, Robotics, and Signal/Image Processing</u> 355-359 (1996).

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*	BZ	Kol, <i>et al.</i> , "Interpretation of nonstress tests by artificial neural network", <u>American Journal of Obstetrics and Gynecology</u> 172:1372-1379 (1995).
*	CA	Kupinski <i>et al.</i> , Feature selection and classifiers for the computerized detection of mass lesions in digital mammography, <u>International Conference on Neural Networks</u> 4:2460-2463 (1997).
*	CB	Lapuerta, <i>et al.</i> , "Use of neural networks in predicting the risk of coronary artery disease", <u>Computers and Biomedical Research</u> 28:38-52 (1995).
*	CC	Logical Designs Consulting, Inc., "Thinks™ and ThinksPro™ Neural networks for windows: Your complete neural network development environment".
*	CD	MacIin, <i>et al.</i> , "Using neural networks to diagnose cancer", <u>Journal of Medical Systems</u> 15:11-19 (1991).
*	CE	Micheli-Tzanakou <i>et al.</i> , Myocardial infarction: diagnosis and vital status prediction using neural networks, <u>Computers in Cardiology</u> pgs. 229-232 (1993).
*	CF	Mobley, <i>et al.</i> , "Artificial neural network predictions of lengths of stay on a post coronary care unit", <u>Heart and Lung</u> 24:251-256 (1995).
*	CG	Modai, <i>et al.</i> , "Clinical decisions for psychiatric inpatients and their evaluation by trained neural networks", <u>Methods of Information in Medicine</u> 32:396-399 (1993).

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CH	Moneta <i>et al.</i> , Automated diagnosis and disease characterization using neural network analysis, <i>Institute of Electrical and Electronics Engineers - Emergent Innovations on Information Transfer Processing and decision Making, Chicago, vol. 1 of 2: 123-128</i> (1992).
CI	"Multivariate statistical data reduction method", (available on <a href="http://www.spi.org/cgi...seeit&amp;csum=17396875558">http://www.spi.org/cgi...seeit&amp;csum=17396875558</a> on 12/08/96).
CJ	Nejad <i>et al.</i> , Significance measures and data dependency in classification methods, <i>Instit. Elect. Electron. Engineers Intl. Conference on Neural Network Proceedings, Australia: 1816-1822</i> (1995).
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CN	Ota and Maki, "Evaluation of autoantibody and CA125 in the diagnosis of endometriosis or adenomyosis", <i>Medicinal Research Reviews</i> 18(8):309 (1990).
CO	Pattichis, <i>et al.</i> , "Neural network Models in EMG Diagnosis", <i>IEEE Transactions on Biomedical Engineering</i> 42:486-495 (1995).
CP	P.E. Keller, "Artificial neural networks in medicine", Handout/Technology brief, Pacific Northwest Laboratory.
CQ	Penny, <i>et al.</i> , "Neural networks in Clinical Medicine", <i>Medical Decision Making</i> 16:386-398 (1996).
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CS	Rachid <i>et al.</i> , Segmentation of sputum color image for lung cancer diagnosis <i>International Conference on Image Processing</i> 1:243-246 (1997).
CT	Rogers, <i>et al.</i> , "Artificial neural networks for early detection and diagnosis of breast and ovarian cancer", <i>Cancer Letters</i> 77:79-83 (1994).
CU	Ruck, <i>et al.</i> , "Feature selection in feed-forward neural networks", <i>Neural Networks Computing</i> 20:40-48 (1990).
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DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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LIST OF PATENTS AND PUBLICATIONS FOR  
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*	DK	Widman, "Expert systems in medicine", (available on <a href="http://amplatz.uokhsc.edu/acc95-expert-systems.html">http://amplatz.uokhsc.edu/acc95-expert-systems.html</a> on 11/21/96).
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